



Westpac Margin Lending Adviser/Dealer Group Registration, Change of Details and Client Adviser Transfer

Use this form to either register a new *nominated financial adviser* (Adviser) or Dealer Group with Westpac Margin Lending, change the contact details of an existing Westpac Margin Lending Adviser/Dealer Group or to transfer a single Westpac Margin Lending client/multiple clients between Westpac Margin Lending Advisers. A client Adviser transfer can occur between Dealer Groups or within a Dealer Group. Words printed *like this* have the meaning given to them in the client's Westpac Margin Lending Facility Agreement.

Questions?

If you have any questions regarding completing this form, please call us on 1800 816 222. Phone lines are available Monday – Friday, 8.30am – 5.30pm (Sydney time).

Privacy Notice

All personal information we collect about you is collected, used and disclosed by us in accordance with our Third Party Privacy Notice which is available at westpac.com.au/privacy/supplementary-notices/third-party-notice/. Our Third Party Privacy Notice also provides information about how you can access and correct your personal information, and make a complaint. You do not have to provide us with any personal information but, if you don't, we may not be able to process your application or request.

1. Instructions related to this request

- Register as a new Adviser with Westpac Margin Lending (*Complete sections 2, 9 and the required sections outlined below if transferring clients*)
- Register as a new Dealer Group with Westpac Margin Lending (*Complete sections 3, 9 and the required sections outlined below if transferring clients*)
- Change the contact details for an existing Westpac Margin Lending Adviser or Dealer Group (*Complete sections 4 and 9*)
- Change a single client's Adviser on their Westpac Margin Lending facility (*Complete sections 5, 6, 7 and 9*)
- Change multiple clients' Advisers (bulk client transfer) on their Westpac Margin Lending facility (*Complete sections 5, 6 and 9 and supply the required information as specified in section 8*)

2. Adviser registration

Please provide details of the new Adviser to be registered with Westpac Margin Lending:

Title: Mr Mrs Miss Ms Dr Mx Other (please specify)

Given name(s)

Surname

Business address

Postal address (*if different from above*)



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2. Adviser registration (continued)

Daytime phone number

Mobile phone number

Email address

Dealer Group name

Dealer Group Australian Business Number (ABN)

Dealer Group AFSL/ASIC Authorised Representative number

Please also supply a letter of authority from the Dealer Group that authorises you to act on their behalf. This letter must be provided on Dealer Group company letterhead.

3. Dealer group registration

Please provide details of the new Dealer Group to be registered with Westpac Margin Lending:

Dealer Group name

Business address

Postal address *(if different from above)*

Daytime phone number

Mobile phone number

Email address

Contact name

Contact phone number *(if different from above)*

Australian Business Number (ABN)

Dealer Group AFSL/ASIC Authorised Representative number

In addition to the above, the Dealer Group will need to enter into an Equities Distribution Agreement with Westpac Banking Corporation ABN 33 007 457 141 AFSL 233714 which we will provide to the contact details above upon receipt of this Form.



4. Adviser or dealer group change of details

Westpac Margin Lending Adviser/Dealer Group number *(if known)*

New business address

New postal address *(if different from above)*

New daytime phone number

New mobile phone number

New email address

5. Transfer client(s) from

Please indicate the current Westpac Margin Lending Adviser that you want the client(s) transferred from:

Westpac Margin Lending Adviser number *(if known)*

Adviser name

Dealer Group name

Dealer Group Australian Business Number (ABN)

6. Transfer client(s) to

Please indicate the Westpac Margin Lending Adviser that you want the client(s) transferred to:

Westpac Margin Lending Adviser number *(if known)*

Adviser name

Dealer Group name

Dealer Group Australian Business Number (ABN)

Please note: Any bulk client Adviser transfer changes are subject to our prior confirmation of the change with each affected client.



7. Single client transfer details

Please provide details of the client's Westpac Margin Lending account that is subject to the change in Adviser:

Westpac Margin Loan client code

Westpac Margin Loan account name

8. Required information for bulk client transfers

To complete the bulk client transfer, we need you to submit the following with this form:

- A spreadsheet with the full names of all the clients that are being transferred and their corresponding Westpac Margin Lending client codes, with the name and adviser number of the Adviser to which they are transferring.

Please note: Any bulk client Adviser transfer changes are subject to our prior confirmation of the change with each affected client.

9. Signatures

For a new Adviser registration or change of details:

Signature of **Adviser**

Signatory's full name (please print)

Date

For a new Dealer Group registration or change of details:

Signature of **Authorised Dealer Group Representative**

Signatory's full name (please print)

Date

For a single client transfer:

For company or company trustee borrowers, either two directors, or one director and the secretary OR the sole director and secretary must sign. Indicate your company capacity by marking the appropriate box below your signature.

Signature of **Borrower**

Signatory's full name (please print)

Director Sole Director and Secretary

Date

Signature of **Additional Borrower**

Signatory's full name (please print)

Director Company Secretary

Date



9. Signatures (continued)

Signature of **New Adviser**

Date

Signatory's full name *(please print)*

For a bulk client transfer:

Signature of **Old Adviser** or **Dealer Group Representative**

Signatory's full name *(please print)*

Date

Signature of **New Adviser** or **Dealer Group Representative**

Signatory's full name *(please print)*

Date

You can submit this form by:

🏠 Westpac Margin Lending
GPO Box 3917, Sydney NSW 2001

✉ mltransact@westpac.com.au

